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Date	June 29, 2005	Client-Matter	74622-015	Fax Transmittal
Total Pages (Including Cover)	3			
From	John C. Stellabotte			
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To:	Examiner: Lalita M. Hamilton			Fax No.: 703-872-8308
Company:	United States Patent and Trademark Office - Group Art Unit 3624			Voice No.: (571)272-6743

Message

Re: Inventor : Thomas C. Naratil
 Serial No. : 09/688,392
 Filing Date : October 16, 2000
 Title : SYSTEM AND METHOD FOR TRADING TAXABLE AND NON-TAXABLE SECURITIES
 Att'y Docket : 74622-015

Attached please find the following:

- 1) Power of Attorney and Correspondence Address Indication Form
- 2) Statement Under 37 CFR 3.73(b)

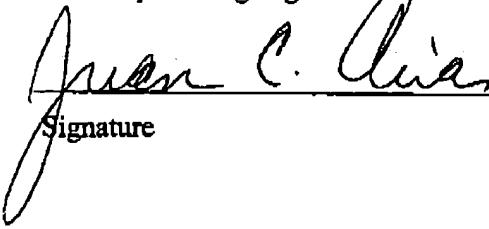
Please contact John C. Stellabotte at (212) 969-3413 if you have any questions.

FACSIMILE TRANSMISSION CERTIFICATE

I hereby certify that these papers are being facsimile transmitted to the Patent and Trademark Office on the date shown below.

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Name of person signing the certification


Juan C. Arias June 29, 2005

Signature

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and
CORRESPONDENCE ADDRESS
INDICATION FORM**

Application Number	09/688,392
Filing Date	October 16, 2000
First Named Inventor	Thomas C. Naratil
Title	SYSTEM AND METHOD FOR TRADING TAXABLE AND NON-TAXABLE SECURITIES
Art Unit	3624
Examiner Name	Lalita M. Hamilton
Attorney Docket Number	74622-015

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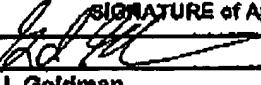
I am the:

Applicant/Inventor.

Assignee of record of the entire interest. See 37 CFR 3.71.

Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

SIGNATURE of Applicant or Assignee of Record

Signature		Date	6/22/05
Name	Gregg I. Goldman	Telephone	203.718.3099
Title and Company	Director and Senior Counsel, UBS Financial Services, Inc.		

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

Total of _____ forms are submitted.

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner:

Thomas C. Naratil

Application No./Patent No.: 09/688,392 Filed/Issue Date: October 16, 2000Entitled: **SYSTEM AND METHOD FOR TRADING TAXABLE AND NON-TAXABLE SECURITIES**

UBS Financial Services, Inc.

Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

- the assignee of the entire right, title, and interest; or
- an assignee of less than the entire right, title and interest.
The extent (by percentage) of its ownership interest is _____ %

In the patent application/patent identified above by virtue of either:

A An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

B A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: Thomas C. Naratil To: Painewebber Incorporated
The document was recorded in the United States Patent and Trademark Office at Reel 011255, Frame 0548, or for which a copy thereof is attached.
2. From: Painewebber Incorporated To: UBS Painewebber, Inc.
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Additional documents in the chain of title are listed on a supplemental sheet.

Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is signed below) is authorized to act on behalf of the assignee.



Signature

Date

Gregg L. Goldman203 719 3099

Printed or Typed Name

Telephone Number

Director and Senior Counsel, UBS Financial Services, Inc.

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to be (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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